

## **ED Records Schedule**

**SCHEDULE LOCATOR NO.:** 165

**DRAFT DATE:** 08/24/2009

**TITLE:** Administrative Grievance, Disciplinary, and Adverse Action Files

**PRINCIPAL OFFICE:** Office of Management

**NARA DISPOSITION AUTHORITY:** GRS – See disposition instructions

### **DESCRIPTION:**

Contains records related to administrative grievances, adverse actions, and performance-based actions.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral). Records that are designated for permanent retention and are created and maintained electronically will be transferred to NARA in an approved electronic format.

### **DISPOSITION INSTRUCTIONS:**

#### **a. Administrative Grievance Files [GRS 1 Item 30.a]**

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

#### **TEMPORARY**

Destroy/delete 4 years after case is closed.

#### **b. Adverse Action Files and Performance-Based Actions [GRS 1 Item 30.b]**

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

#### **TEMPORARY**

Destroy/delete 4 years after case is closed.

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### **c. Employee Relations Tracking System (ERTS) Master Data Files**

ERTS is a database that contains employee relations information about adverse and performance-base actions for the Department's headquarters and regional office employees. Action records are tracked by employee name.

#### **TEMPORARY**

Destroy/delete 4 years after case is closed.

### **d. Web Based Client/Server Correspondence & Issues Management System (WebCIMS) Master Data Files**

WebCIMS tracks and manages data pertaining to employees who file EEO complaints and negotiated or administrative grievances. The system is also used to generate the annual EEOC 462 Report and monthly report to the Director of Equal Employment Opportunity Services (EEOS). WebCIMS captures employee information such as name, principle office, address and the nature of the grievance or complaint. It collects the data from the 462 form that is submitted by individual employees. The system is used by EEOS and the Office of Hearing and Appeals.

#### **TEMPORARY**

Cut off after resolution of case. Destroy/delete 4 years after cut off.

### **IMPLEMENTATION GUIDANCE:**

Follow the disposition instructions in ED 086 Information Systems Supporting Materials for system software; input/source records; output and reports; and system documentation.

### **ARRANGEMENT/ANNUAL ACCUMULATION:**

### **PREVIOUS NARA DISPOSITION AUTHORITY:**

### **SPECIFIC LEGAL REQUIREMENTS:**

5 C.F.R. 771 Administrative Grievance Files  
5 C.F.R. 752 Adverse Action Files  
5 C.F.R. 432 Performance-Based Actions

### **SPECIFIC RESTRICTIONS:**

Privacy Act 18-05-05 Grievances Filed Formally Under the Administrative Grievance Procedure

**LINE OF BUSINESS:** Administration/Departmental